Health Insurance Oversight System

Plan Finder – Issuer User Manual

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Last updated March 2015

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Plan Finder User Manual Change History

March 2015 Revisions:

The following updates were made to Section 2:

1. Section 2.4 – Added new section "General Marketplace Information."

The following updates were made to Section 5:

1. Section 5.0 – Added "General Marketplace Information" data elements to Web Entry.
2. Section 5.3 – Added new section "Edit General Marketplace Information."

1 Introduction

The Center for Consumer Information and Insurance Oversight (CCIIO), a division of the Department of Health and Human Services (HHS), is charged with helping implement many provisions of the Affordable Care Act. CCIIO oversees the implementation of the provisions related to private health insurance including providing oversight for the issuer based product data reports that populate finder.healthcare.gov.

The Health Insurance Oversight System (HIOS) was created to facilitate several types of data collections from the Department of Insurance for states/territories as well as insurance issuers that sell health insurance coverage. The collected data is aggregated with other data sources and made public on the consumer-facing website.

Plan Finder is the specific module within HIOS responsible for collecting issuer general identification information, product information, quarterly application data for each product and requesting component IDs for products. There are three available mechanisms for the issuers to submit their data: Microsoft Excel templates, XSD templates for XML submissions, and web-entry forms. These technical instructions explain the special features and other technical aspects related to the use of each submission mechanism.

The Office of Consumer Information & Insurance Oversight (CCIIO) strongly recommends that users read this document thoroughly before using the tool. Failure to precisely follow the technical instructions may result in:

- Submission Error
- Loss of data
- Rejected file submission

1.1 Instructional Layout

The term ‘user’ is used throughout this document to refer to a person who has acquired access to complete submissions within the HIOS Plan Finder module. Each action that is required by the user is indicated via step by step bullets. If an action requires the user to select a specific button or link on the screen, the name of the item to look for will be in ***bold italics***. For example:

1. Select ***OK.***

1.2 Technical Specification

The HIOS application works within any of the following compatible Internet browsers:

1. Internet Explorer (version 7 or higher)

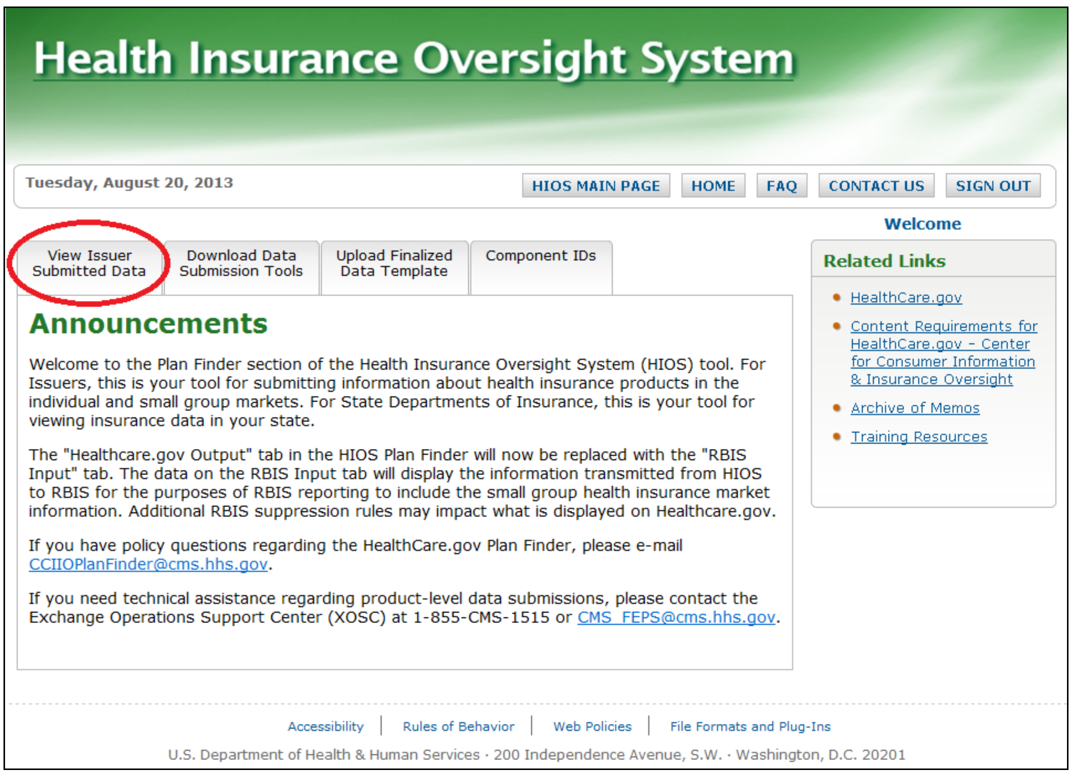
2. Mozilla FireFox (version 5 or higher)
3. Chrome (version 9.0 or higher)

2 View Issuer Submitted Data

The Issuer Data Submission Form consists of the following two worksheets, within the same spreadsheet, that must be completed prior to submission:

- Issuer General Info – Displays the data entered for the issuer's general information, contact information, customer service contact details, and rating data.
- Products Offering Info – Displays the reporting of the issuer's products and application data for each product.

Figure 1: Plan Finder Announcement page

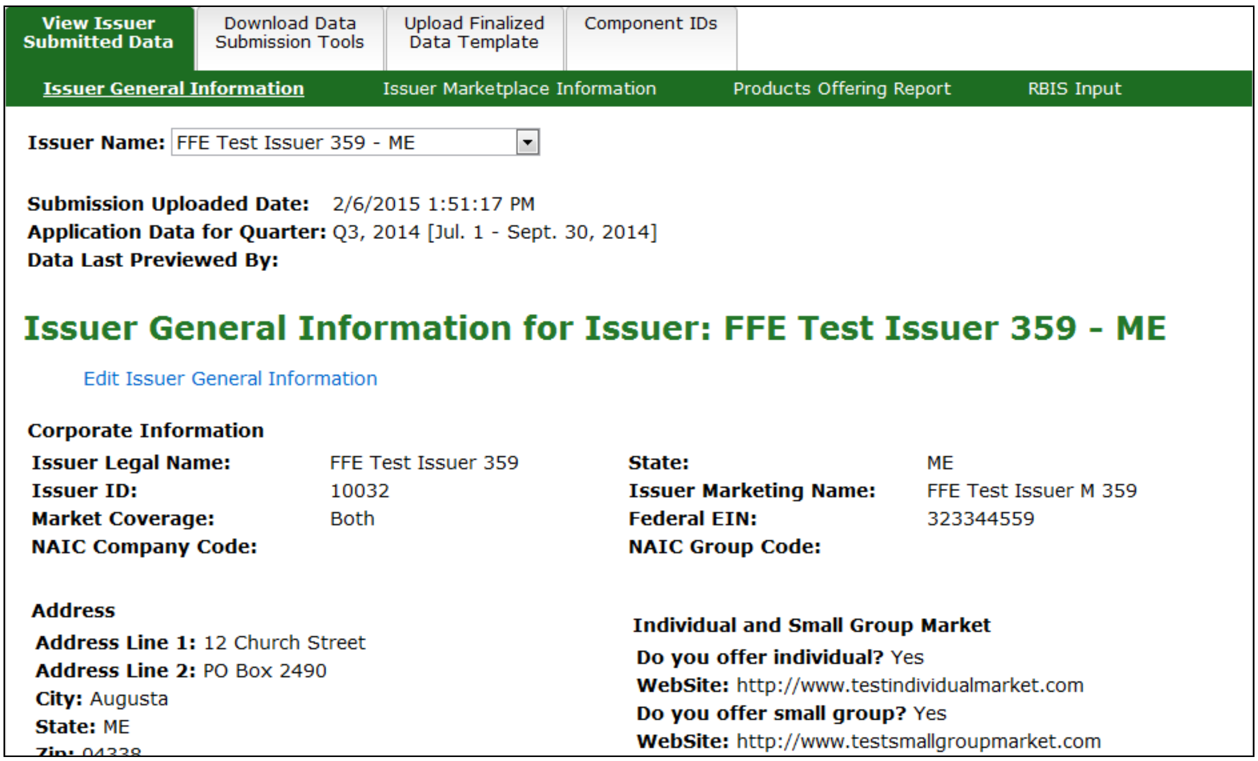


2.1 Issuer General Information

The Issuer General Information page displays the data entered for the issuer's general information, contact information, customer service contact details, and rating data. Users shall be able to navigate through all the issuer contacts registered through the HIOS portal.

The View Issuer Submitted Data tab is displayed below in Figure 2.

Figure 2: View Issuer Submitted Data tab



Issuer Contacts

1 2 3 Page Size: 10 Displaying 1 - 10, of 27 found.

Contact Role	Primary or Backup	Name	Phone Number	Extension	E-mail
Attestation Contact	CEO Contact	xxxxxda xxxxla	99999996100		xxxxxxx.xxxxla@xxxxxxxxxx.com
Attestation Contact	CFO Contact	xxxxxxer xxxxxxti	99999991323		xxxxxxxx.xxxxxxti@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Backup Contact	xxxl xxxxxxce	19999994567		xxxx.x.xxxxxxce@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Backup Contact	xxxxxxth xxxxxxxxxxti	99999997601		xxxxxxxx.xxxxxxxxxxxti@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Backup Contact	xxxxxra xxxay	99999991742		xxxxxxx.xxxay@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Primary Contact	xxxxya xxxxxxhi	9999993456		xxxxxx.xxxxxxhi@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Primary Contact	xxxxxx xxxdu xxxxxla	9999996480	999999	xxxxxxxxxxxx.xxxxxla@xxxxxxxxxx.com
Data Submission Contact - Individual Market	Primary Contact	xxxxxrd xxxxxxxxre	9999994238		xxxxxxx.xxxxxxxxre@xxx.xxx.gov
Data Submission Contact - Individual Market	Primary Contact	Anuprita Gore	17032271234		anuprita.gore@cgifederal.com
Data Submission Contact - Individual Market	Primary Contact	Mina Mounkhaty	17032274636		mithouna.mounkhaty@cgi.com

Ratings - Individual Market

Is Issuer rated by any rating company in the last two years? No

Rating Company	Rating Type	Rating	Rating Company Other/Describe	Rating Type Other/Describe
No records to display.				

Ratings - Small Group Market

Is Issuer rated by any rating company in the last two years? No

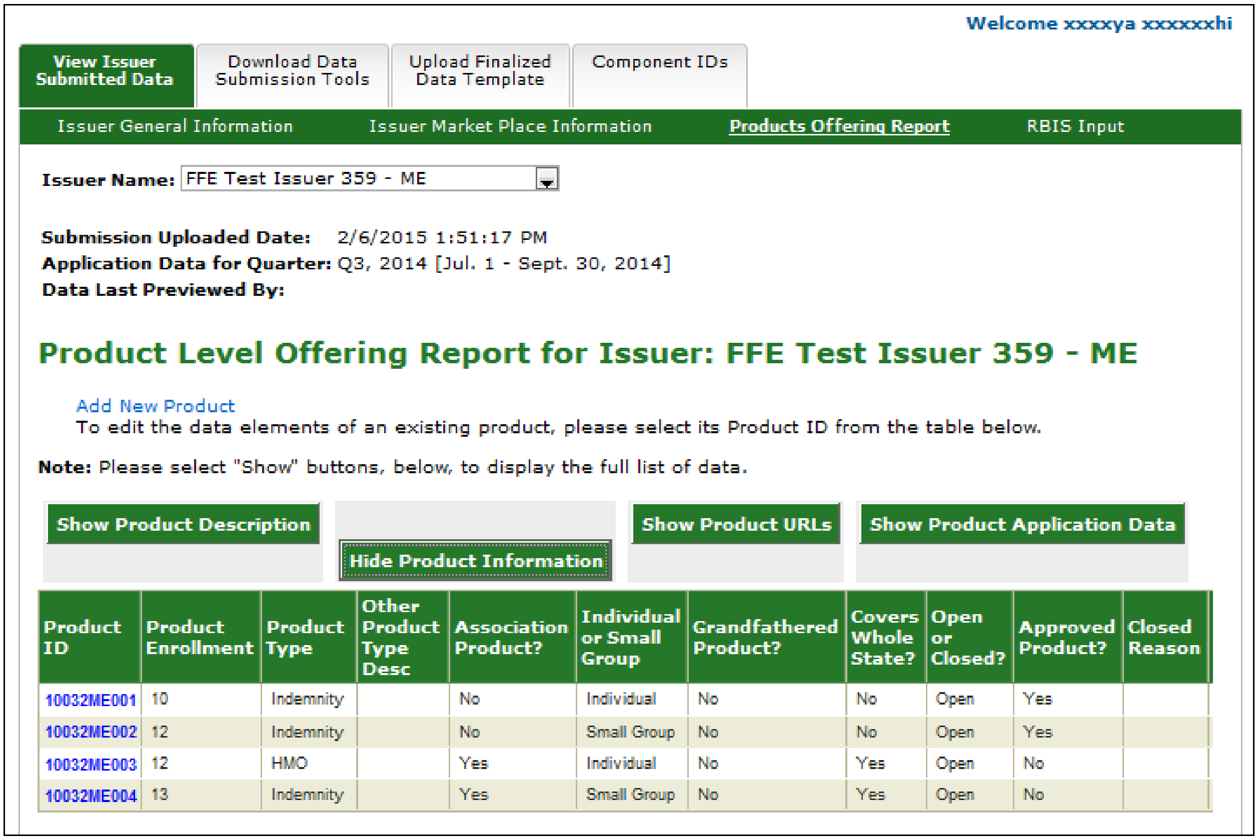
Rating Company	Rating Type	Rating	Rating Company Other/Describe	Rating Type Other/Describe
No records to display.				

2.2 Product Offering Information

The Products Offering Report page displays the reporting of the issuer's products and application data for each product.

The Product Offering Report page is displayed below in Figure 3.

Figure 3: Product Offering Report page

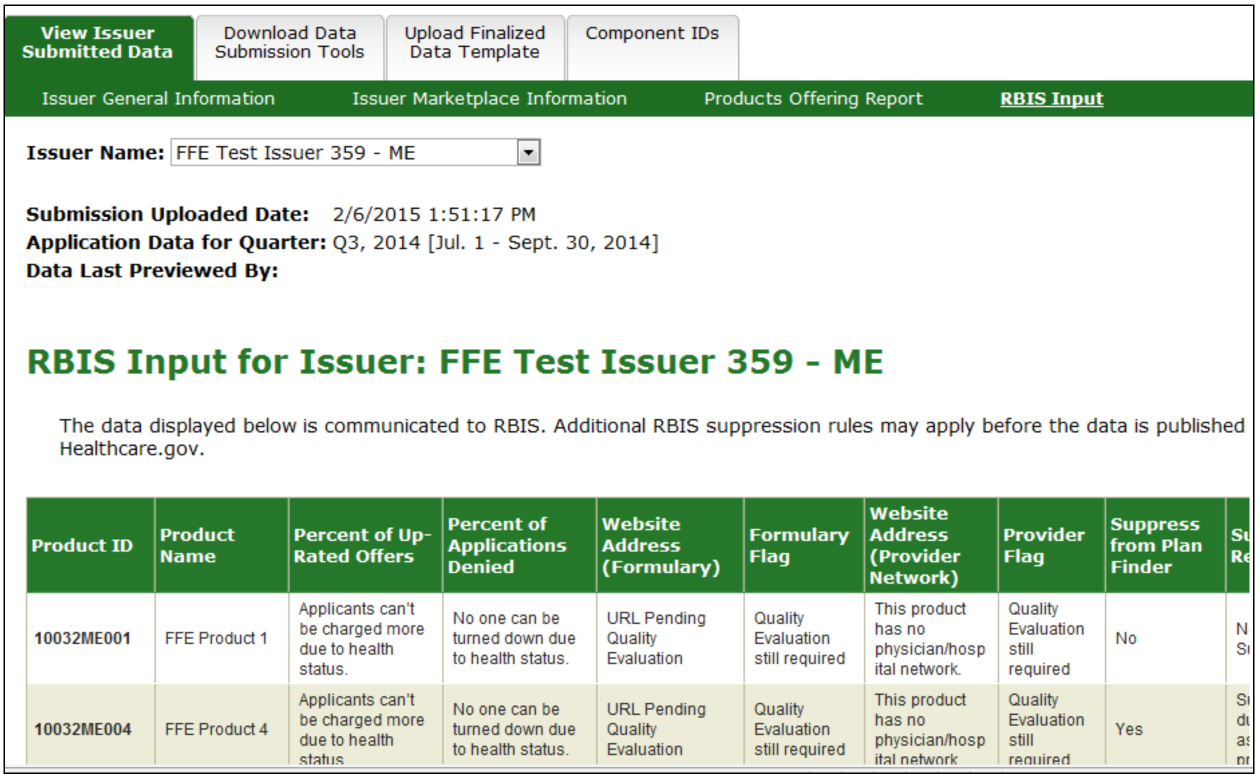


2.3 RBIS Input tab

The RBIS Input tab displays open products, derived data elements, and the reasons behind the derived data elements, which RBIS will intake before the information is published on finder.Healthcare.gov. Closed products will not display on this page.

The RBIS Input page is displayed below in Figure 4.

Figure 4: RBIS Input page



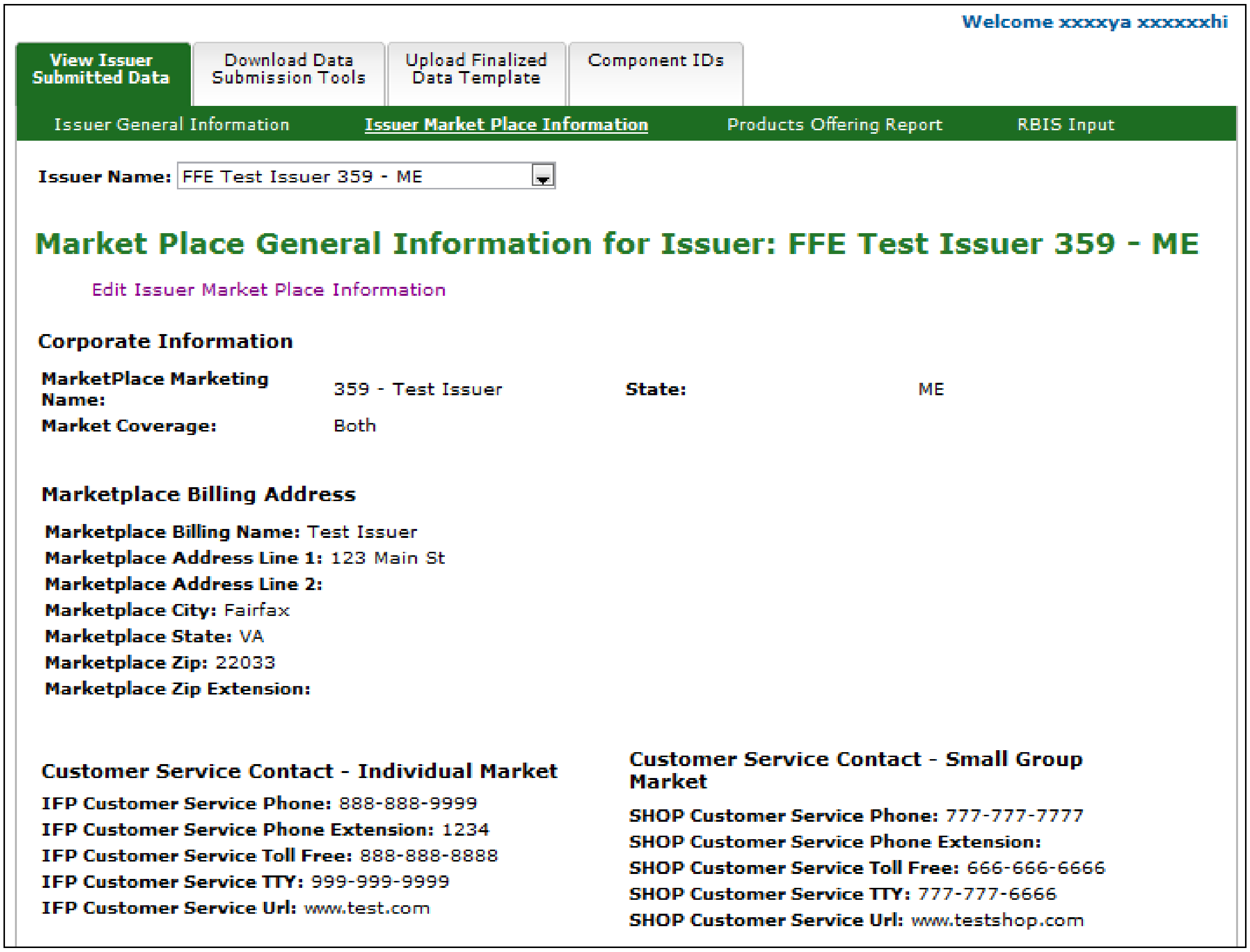
Product ID	Product Name	Percent of Up-Rated Offers	Percent of Applications Denied	Website Address (Formulary)	Formulary Flag	Website Address (Provider Network)	Provider Flag	Suppress from Plan Finder	Su Re
10032ME001	FFE Product 1	Applicants can't be charged more due to health status.	No one can be turned down due to health status.	URL Pending Quality Evaluation	Quality Evaluation still required	This product has no physician/hospital network.	Quality Evaluation still required	No	N Su
10032ME004	FFE Product 4	Applicants can't be charged more due to health status	No one can be turned down due to health status.	URL Pending Quality Evaluation	Quality Evaluation still required	This product has no physician/hospital network	Quality Evaluation still required	Yes	Su du as pr

2.4 Marketplace General Information

The Marketplace General Information page displays the data entered for the issuer's marketplace general information, the marketplace billing address, and the marketplace customer service contact information.

The View Issuer Marketplace Information tab is displayed below in Figure 5.

Figure 5: Marketplace General Information page



3 Microsoft Excel Submissions

Plan Finder Submission users can download pre-populated templates in either the Excel 2003 version or the Excel 2007/2010 version. The system will also allow submission users to upload the finalized submission files in either format.

3.1 Excel Macro Settings

Computer configurations must be set to satisfy the following requirements for the Issuer Data Entry Form to work properly:

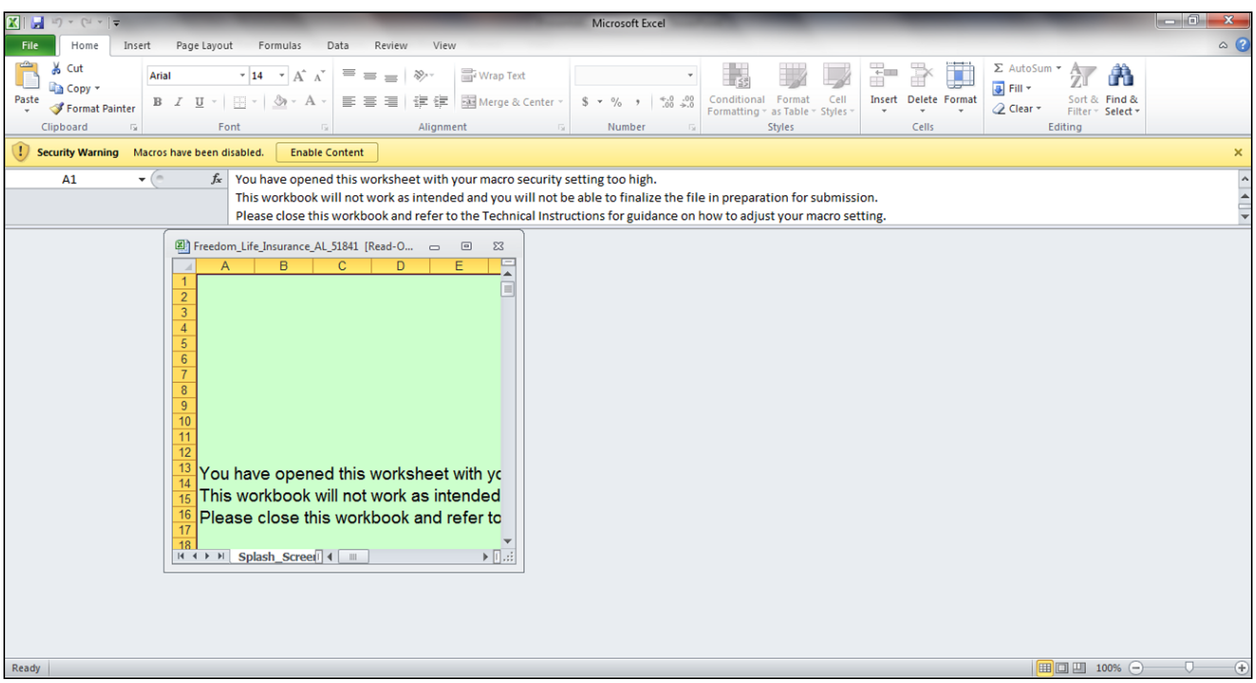
1. Have Microsoft Excel 2003, 2007 or 2010 installed on the user's machine.
2. Enable the Excel standard toolbar.
3. Set the Excel macro security settings as follows:
    - For Excel 2003, set Excel macro security settings to ***"Medium (recommended)***."

1. Select ***Tools*** from the menu bar.
2. Select ***Macro*** on the dropdown menu.
3. Select ***Security***.
4. Select ***Medium (recommended)***.
5. Select ***OK***.
6. When the workbook is opened, the workbook will fully function.

- For Excel 2007 or Excel 2010, set Excel macro security settings to "***Disable all macros with notifications***."
  1. Select the ***Office Button*** in the upper left corner of the window.
  2. Select the ***Excel Options*** button at the bottom of the menu.
  3. Select ***Trust Center*** on the left navigation pane.
  4. Select ***Trust Center Settings***.
  5. Select ***Macro Settings*** on the left navigation pane.
  6. Select the radio button in front of ***Disable all macros with notifications***.
  7. Select ***OK***.
  8. When the workbook is opened, select the ***Options*** button and select ***Enable Content*** then select ***OK***.

The Excel 2007/2010 Enable Content message is displayed below in Figure 6.

Figure 6: Excel 2007/2010 Enable Content message



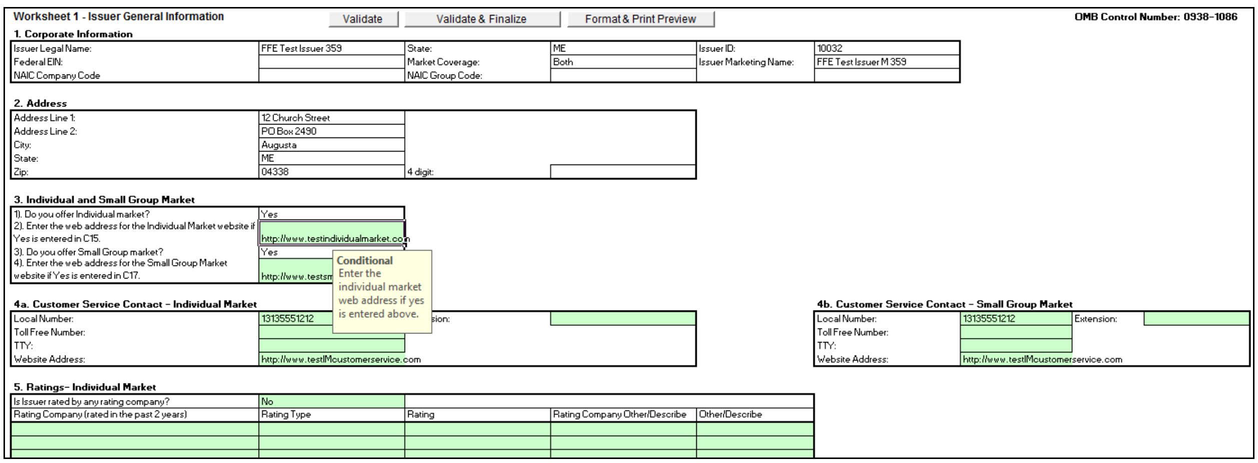
3.2 Working Files versus Finalized Files

The Issuer Data Submission Form employs the following two versions of the workbook that serve different purposes throughout the process:

- Working files **–** These are read-write enabled files that allow users to enter data in specified input fields. Users may edit, save, name and re-name working versions of these files.
- Finalized files – These are read-only files created by a process called finalization, which modifies the format of working files to prepare them for submission to CMS. These files have specific naming conventions that must be followed in order to be successfully submitted. The Validate and Finalize macros are built into the template.

The Issuer Data Submission Form employs macro buttons and shortcut keys as displayed in Figure 7 below.

Figure 7: Macro buttons on Excel Issuer Data Submission Template



The following are the names of the buttons (from left to right):

- Validate (Shortcut: **CTRL + shift + V**) – This will perform the red circle and critical validations.
- Validate and Finalize (Shortcut: **CTRL + shift + S**) – This function will perform the critical validations and create the read-only finalized file.
- Format and Print Preview (Shortcut: **CTRL + shift + P**) – This function will format the workbook for printing and display the print preview screen.

Excel will allow the users to navigate and perform regular spreadsheet functions within the application. The following are a few special considerations to note:

- Print – It is suggested to perform a **Print Preview** prior to printing the workbook to ensure the formating is as preferred.

- Use the standard Excel print icon or menu selection.
- Select the ***Format & Print Preview*** button within each worksheet.

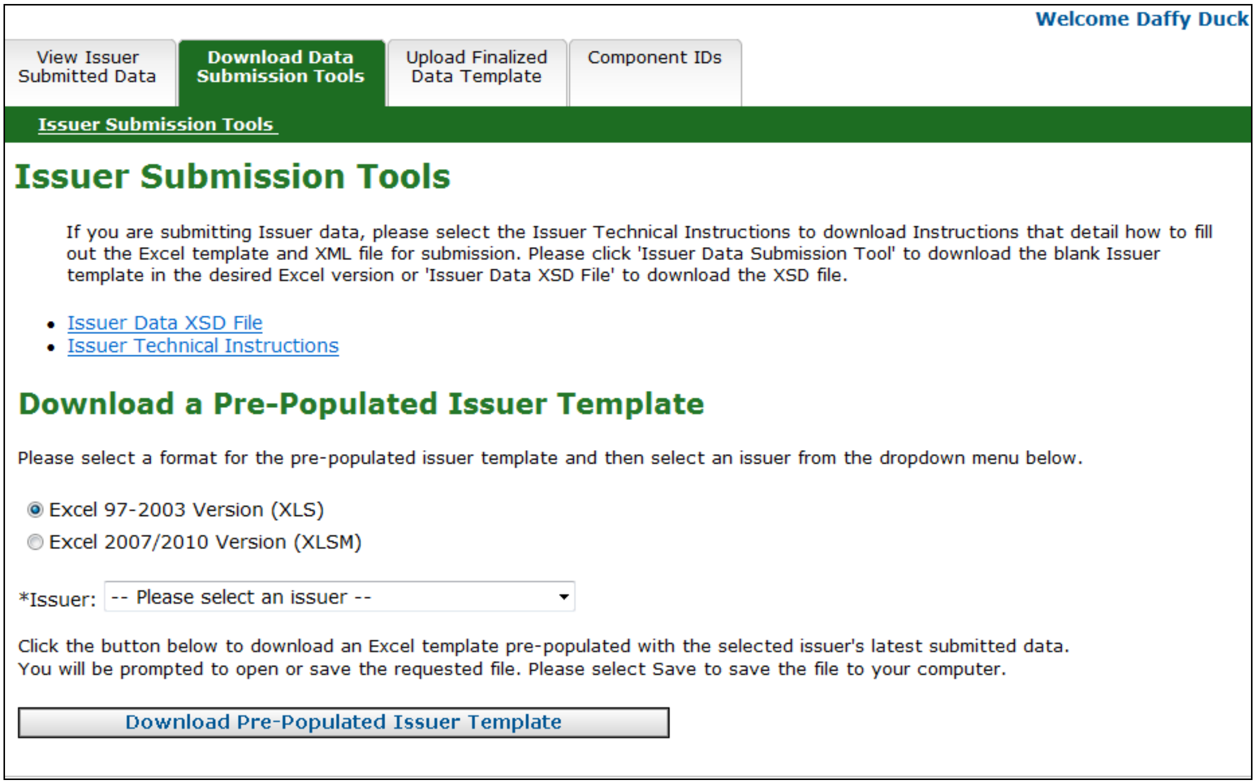
- Cut/ Paste – It is recommended NOT to use the **Cut** or **Paste** function in the Issuer Data Entry Form workbook as it will remove or over write the cell's predefined formatting.

- Delete – It is recommended to use the **Delete** key instead of the space bar to delete cell values from a cell.

3.3 Download Data Submission Tools

The Download Data Submission Tools tab is displayed below in Figure 8.

Figure 8: Download Data Submission Tools tab

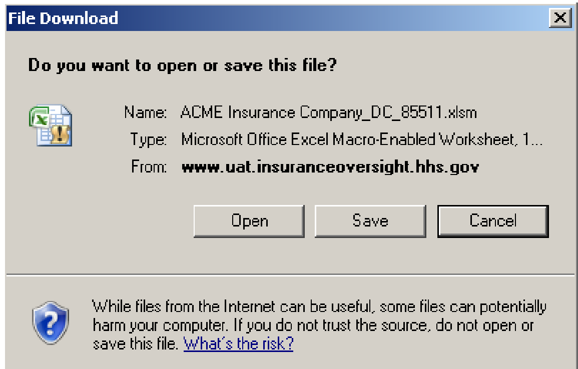


The following are the steps to download a pre-populated template:

1. From the ***HIOS Main Page***, select ***HIOS Issuer Product Data Collection***.
2. Select the ***Download Data Submission Tools*** tab.
3. Select the ***Issuer Submission Tools*** link.
4. Select the radio button in front of the Excel version preferred.
5. Select the ***Download Pre-Populated Issuer Template*** button.

The File Download instruction box is displayed below in Figure 9.

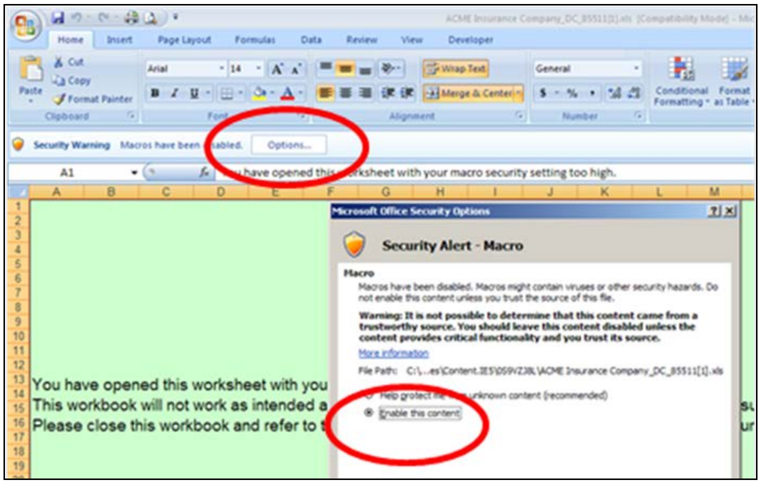
Figure 9: File Download instruction box



6. A pop-up window will appear after the system compiles the data. The user may select to ***Open*** the file, ***Save*** the file or ***Cancel*** the download request.
7. If the user has already updated the macro security settings in Excel as recommended in section *3.1: Excel Macro Settings*, select **Open**.
8. If the user has not updated the macro security settings in Excel as recommended in section 3.1, then:
    a. Select ***Save***.
    b. Choose a file location and it is recommended not to change the name of the document at this point.
    c. When the save is complete, a pop-up window will appear asking to **Open** or **Cancel**. Select ***Cancel***. Do not open the workbook.
    d. Open the Excel application to a blank workbook.
    e. Update the macro security settings as stated in section 3.1.
    f. Select the ***Open*** file icon on the standard toolbar or select ***File*** menu then ***Open***.
    g. Locate the file and select ***Open***.
9. For Excel 2003, select ***Options*** and ***Enable the content***. For Excel 2007 or 2010, select ***Enable Content***.

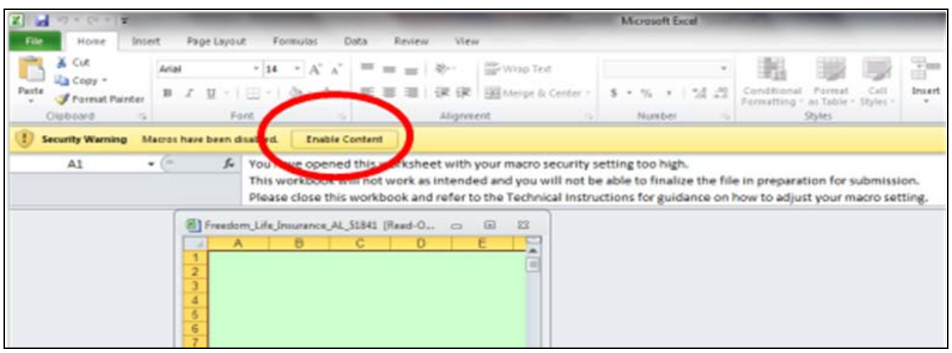
The Excel 2003 Enable the Content message is displayed below in Figure 10.

Figure 10: Excel 2003 Enable the Content message



The Excel 2007/2010 Enable Content message is displayed below in Figure 11.

Figure 11: Excel 2007/2010 Enable Content message



3.4 Issuer General Info Tab

Table 1 below includes the cell location for each data entry field on the Issuer General Info tab along with appropriate values.

Please Note: It is **HIGHLY RECOMMENDED** to select values from dropdown lists **INSTEAD OF** keying in values. Keying in values may result in the value not being recognized and cause errors that can prevent successful submission.

Table 1: Issuer General Info Field Chart

Cell Location	Data	Valid Values
C3	Issuer Legal Name	Users do not have the ability to edit this field in Plan Finder.

Cell Location	Data	Valid Values
C4	Federal EIN	Users do not have the ability to edit this field in Plan Finder.
C5	NAIC Company Code	Users do not have the ability to edit this field in Plan Finder.
E3	State	Users do not have the ability to edit this field.
E4	Market Coverage	Users do not have the ability to edit this field.
E5	NAIC Group Code	Users do not have the ability to edit this field.
G3	Issuer ID	Users do not have the ability to edit this field in Plan Finder.
G4	Issuer Marketing Name	Users do not have the ability to edit this field in Plan Finder.
C8	Address Line 1	Users do not have the ability to edit this field in Plan Finder.
C9	Address line 2	Users do not have the ability to edit this field in Plan Finder.
C10	City	Users do not have the ability to edit this field in Plan Finder.
C11	State	Users do not have the ability to edit this field in Plan Finder.
C12	Zipcode	Users do not have the ability to edit this field in Plan Finder.
E12	4 digit	Users do not have the ability to edit this field in Plan Finder.
C15	Individual Market	Users do not have the ability to edit this field in Plan Finder.
C16	Website address for Individual Market website	Enter the website address for the Individual Market. This field is only required if Individual Market question in cell C15 is **Yes**.
C17	Small Group Market	Users do not have the ability to edit this field in Plan Finder.
C18	Website address for Small Group Market website	Enter the website address for the Small Group Market. This field is only required if ‘Small Group Market’ question is ‘**Yes**’ in cell C17.

Cell Location	Data	Valid Values
C21	Customer Service Local Number – Individual Market	Please enter the local phone number for the Individual Market Customer Service, up to 15 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
C22	Customer Service Toll Free Number - Individual Market	Please enter the toll free number for the Individual Market Customer Service, up to 15 characters. Optional field.
C23	Customer TTY - Individual Market	Enter the phone number for the TTY for the Individual Market Customer Service, up to 15 characters. Optional field.
C24	Customer Website Address - Individual Market	Enter a valid website address for the Individual Market Customer Service. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
E21	Customer Service Phone Number Extension - Individual Market	Enter the phone number extension for Individual Market Customer Service, up to 6 characters. Optional field.
H21	Customer Service Local Number – Small Group Market	Enter the local phone number for the Small Group Market Customer Service, up to 15 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
H22	Customer Service Toll Free Number - Small Group Market	Enter the toll free number for the Small Group Market Customer Service, up to 15 characters Optional field.
H23	Customer TTY - Small Group Market	Enter the phone number for the TTY for the Small Group Market Customer Service, up to 15 characters. Optional field.

Cell Location	Data	Valid Values
H24	Customer Website Address - Small Group Market	Enter a valid website address for the Small Group Market Customer Service. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
J21	Customer Service Phone Number Extension - Small Group Market	Enter the phone number extension for Small Group Market Customer Service, up to 6 characters. Optional field.
C45	Individual Market Issuer rated by any rating company	Select **Yes** or **No** from the drop down menu.

Enter up to **5** rows of rating information. The system will verify that at least one set of rating data is entered if C45 is **Yes**, indicating the product has been rated by a rating company. Table 2 shows the required fields if C45 is **Yes**.

Table 2: Market Rating Data

Cell Location	Data	Valid Values
B47	Individual Market Rating Company	Select rating company from the drop down menu. This field is only required if C71 is **Yes**.
C47	Individual Market Rating type	Select rating from the drop down menu. This field is only required if C71 is **Yes**.
D47	Individual Market Rating	Enter Rating. This field is only required if C71 is **Yes**.
E47	Individual Market Rating Company Other	Enter the rating company if **Other/Describe** is selected in cell B47.
F47	Individual Market Rating Type Other/Describe	Enter the rating type if **Other/Describe** is selected in cell B47.
C54	Small Group Market rated by any rating company	Select **Yes** or **No** from the drop down menu.
B56	Small Group Market Rating Company	Select rating from the drop down menu. This field is only required if the user selected **Yes** in cell C54.
C56	Small Group Market Rating type	Enter Rating. This field is only required if the user selected **Yes** in cell C54.

Cell Location	Data	Valid Values
D56	Small Group Market Rating Company Other	Enter the rating company if the user selected '**Other/Describe**' in cell C54.
E56	Small Group Market Rating Type Other	Enter the rating type if the user selected '**Other/Describe'** in cell B56.
F56	Small Group Market: Rating Type Other/Describe	Enter the rating type **ONLY** if Rating Type C56 is **Other/Describe**.

3.5 Product Info Tab

Table 3 below includes the cell location for each data entry field on the Product Info tab, along with the appropriate values.

Table 3: Product Info Field Chart

Cell Location	Data	Valid Values
B3	Product ID	This is a read-only field and should not be used.
C3	Product Name	Enter a product name.
D3	Enrollment code/Group Number	Enter the Enrollment code/Group Number given internally to this product. Optional field.
E3	Product Type	Select product type from the drop down menu.
F3	Other Product Type Description	Enter a product description. This field is only required if the user selected '**Other/Describe**' for the product type.
G3	Association Product	Select **Yes** or **No** from the dropdown.
H3	Product Enrollment	Enter the number of enrollment.
I3	Individual or Small Group	Select Individual or Small Group from the drop down list. This is editable for only new product creation.
J3	Website address (Benefit at a Glance)	Enter a website address for the benefit description.
K3	Website address (Formulary)	Enter a website address. Optional field.

Cell Location	Data	Valid Values
L3	Website address (Provider Network)	Enter a website address if appropriate. If the product is an indemnity product, and therefore there is no corresponding Provider Network, please enter “**Indemnity**”.
M3	Covers whole state	Select **Yes** or **No** from the drop down menu.
N3	Number of Applications Received	Enter the number of applications received for the appropriate quarter designated in cell N1. Number of applications received refers to the total number of applications for enrollment under the product that you processed during a specific quarter. Only include requests for insurance coverage in your number.*
O3	Number of Applications Denied	Enter the number of applications denied for the appropriate quarter designated in cell N1. The number of denials should represent the number of applications that were denied based on health status.*
P3	Number of Up-Rated Offers	Enter the number of up-rated offers for the appropriate quarter designated in cell N1. “Up-rated offers” refers to the number of offers with restricted coverage terms or increased consumer premium, based on health status.*

Cell Location	Data	Valid Values
Q3	Number of Administrative Disqualifiers	Enter the number of administrative disqualifiers for the appropriate quarter designated in cell N1. Administrative disqualifications refer to those applications which were disqualified for administrative or eligibility reasons, not including health status. These reasons include, but may not be limited to, ineligibility for policy due to non-residency in insurer's defined service area, dependent's age, or legal status.*
R3	SERFF-Number	Enter SERFF-Number. Optional field.
S3	Open or Closed?	Select **Open** or **Closed** from the drop down menu.
T3	Closed Reason	Select a reason that the product is closed from the drop down. This field is only required if the user selected **Closed** in field R3. This dropdown will no longer include the Association Product as the reason.
U3	Other Closed Reason	Enter a Closed Reason in this field. This field is only required if the user selected **Other** in field S3.
V3	Grandfathered Product	Select **Yes** or **No** from the drop down menu.
W3	Effective Start Date	Enter the product's Effective Start Date in the format of MM/DD/YY.
X3	Effective End Date	Enter the product's Effective End Date in the format of MM/DD/YY. Optional field
Y3	Approved Product	Select **Yes** or **No** from the drop down menu.

*For additional information, see the questions and answers section on the CCIIO website.

If using pre-populated templates for data entry, the application, denial, uprate and administrative disqualification data will be blank to enable entry for the subsequent quarter's data.

3.6 Validation

All data entry fields are highlighted in green. All cells are formatted in text format.

The green-highlighted data entry fields fall into three categories with respect to cell validation: validation fields, critical validation fields and non-validation fields. Validation fields have cell-specific rules regarding the types and format of data that can be entered into them. These rules appear in message boxes, called cell labels, which are shown when the cell is highlighted.

The Issuer Data Submission Template is displayed below in Figure 12.

Figure 12: Issuer Data Submission Template

Worksheet 2 - Product Information | Validate | Validate & Finalize | Format & Print | Please enter applications, denials and up-rates that occurred in: Q3-2014 (Jul. 1 - Sept. 3

Cross Reference	Product ID	Product Name	Enrollment Code/Group Number	Product Type	Other Product Type Description	Association Product?	Product Enrollment	Individual or Small Group	Website Address (Benefit at a Glance)	Website Address (Formulary)	Website Address (Provider URL) Enter "indemnity" if none	Covers Whole State?	Number of Applica Received
1	10032ME001	FFE Product 1		Indemnity		No	10	Individual	http://www.testP1.com	http://test.com	Indemnity	No	10
2	10032ME002	FFE Product 2		Indemnity		No	12	Small Group	http://www.testP2.com	http://test.com	Indemnity	No	10
3	10032ME003	FFE Product 3		HMO		Yes	12	Individual	http://test.com	http://test.com	Indemnity	Yes	0
4	10032ME004	FFE Product 4		Indemnity		Yes	13	Small Group	http://test.com	http://test.com	Indemnity	Yes	0
5													
6													
7													
8													
9													
10													
11													
12													
13													
14													

Required
Enter a Product Name.

The following are the steps to trigger the Validation Process:

1. When the submitter has completed the data entry or updates, it is recommended to save the document before starting the Validation Process, by selecting the ***Excel Save*** icon. There is no need to rename the document at this point.

2. Select ***Validate***.

Upon triggering the validation process, a red circle will surround cells that do not pass validation rules. Once the validation rules are corrected, the red circles will disappear.

Please Note: It is strongly recommended to perform the validation process and resolve **ALL** issues prior to the **Finalize and Validate** step.

3.7 Save

There are two save processes available within the Issuer Data Entry Form: a non-finalized and a finalized save.

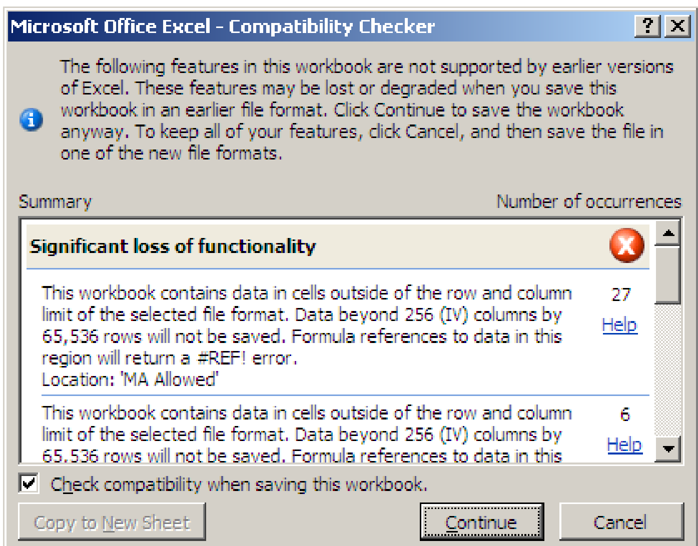
A non-finalized save can be invoked by selecting the Excel ***Save*** icon on the Excel standard toolbar or by selecting ***File*** and then ***Save*** from the Excel menu. This save process will save any changes made to the workbook.

A finalized save occurs when the "**Finalize and Validate**" function is invoked. Please refer to section *5.7: Finalizing the Issuer Data Entry Form for Submission.* This step is taken when the workbook is complete and ready for submission.

Please Note: After selecting ***Save*** or ***Finalize & Validate Form***, the following message may appear. Uncheck the box ***Check compatibility when saving this workbook*** and select ***Continue***. The finalized file must be saved in the same Excel version file format of the submitted data.

The Microsoft Office Excel - Compatibility Checker message is displayed below in Figure 13.

Figure 13: Microsoft Office Excel - Compatibility Checker



3.8 Finalizing the Issuer Data Entry Form for Submission

Select the ***Validate & Finalize File*** button to trigger the finalization process. The system will perform all of the critical validations. The system will perform the finalization process and create the read only file if all critical validations are passed.

When the finalization function is triggered, the system will check all required fields and critical validations. If the file does not successfully pass all validation rules, an error message box will appear listing the cell location of each error and those fields will be circled in red. A list of critical errors is included in Appendix B, "Critical Errors." Each error will have to be corrected before the file can be successfully validated and finalized. Once the file is error free, the file will be finalized, including the creation of a read-only version of the template with the required naming convention.

The required naming convention is as follows:

- Final_<first20charactersofname>_<stateabbreviation>_<IssuerID><yyyymmdd><hhmmss>.xlsx

Use of this naming convention is a requirement for a successful submission. If the name of the finalized file is modified, it will not be processed.

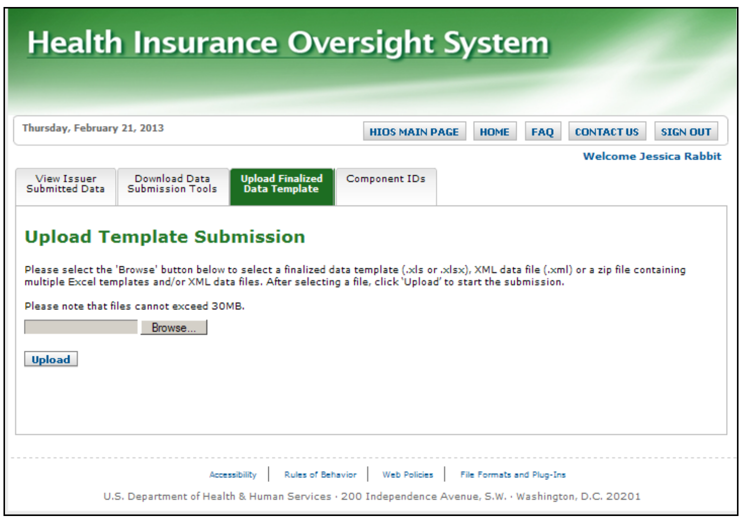
The following is an example of the required naming convention:

- Final_ACMEInsuranceCo_DC_85511_20130221_110834.xlsx (or .xls for Excel 2003)

3.9 Upload Submission

The Upload Template Submission page is displayed below in Figure 14.

Figure 14: Upload Template Submission page



The following are the steps to upload a finalized template:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***Upload Finalized Data Template*** tab.
3. Type in the file name and location or select the ***Browse*** button then locate the file.
4. Select the ***Upload*** button. You will receive a confirmation message when the file has been completely uploaded.

Successfully uploaded and processed files will generate an email message to the submission contacts verifying the successful submission. If there are any errors encountered during the file processing, the system will generate an email detailing the error encountered. The error will have to be corrected and re-submitted before the file can be successfully re-processed.

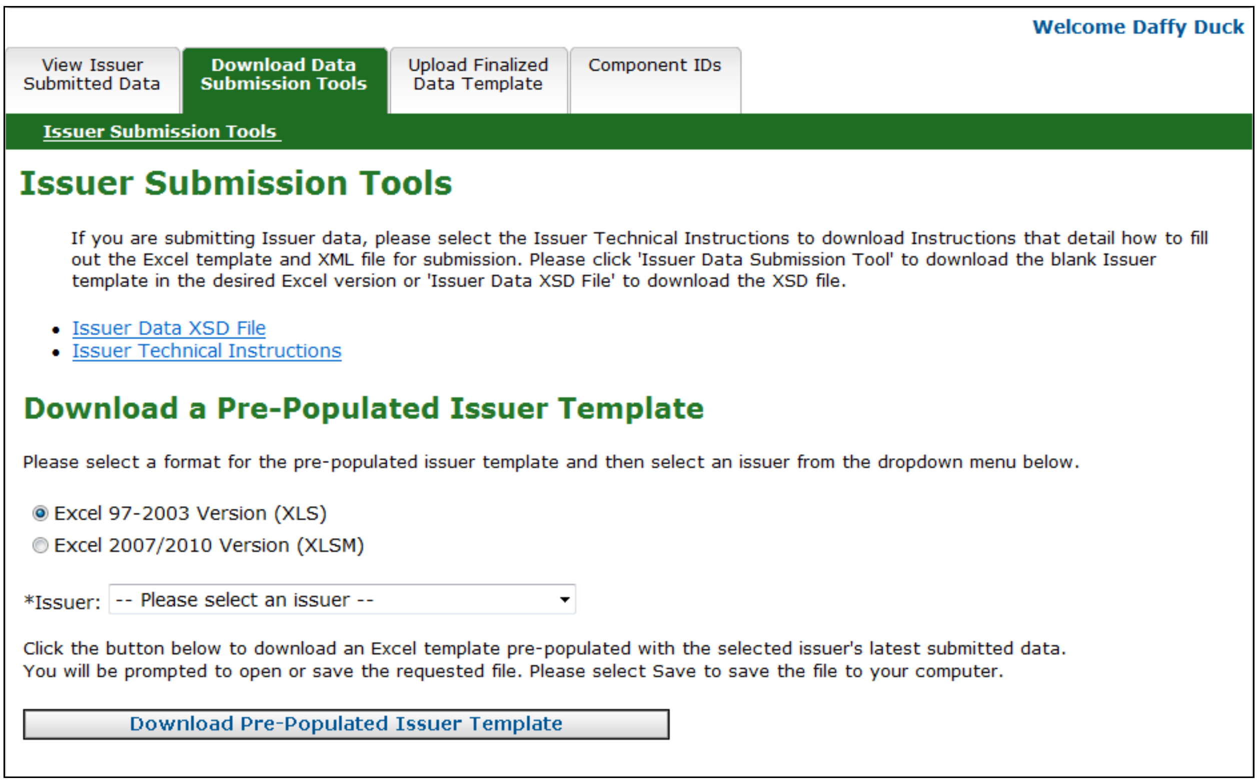
4 XML Submissions

The Issuer Data XSD File is available as the XML file template. The file can be used with any XML reader software the user wishes to use. Instructions for loading the file into the XML software will vary depending on the software being used. Please consult the loading directions for your application.

4.1 Download XSD Template

The Download Data Submission Tools tab is displayed below in Figure 15.

Figure 15: Download Data Submission Tools tab

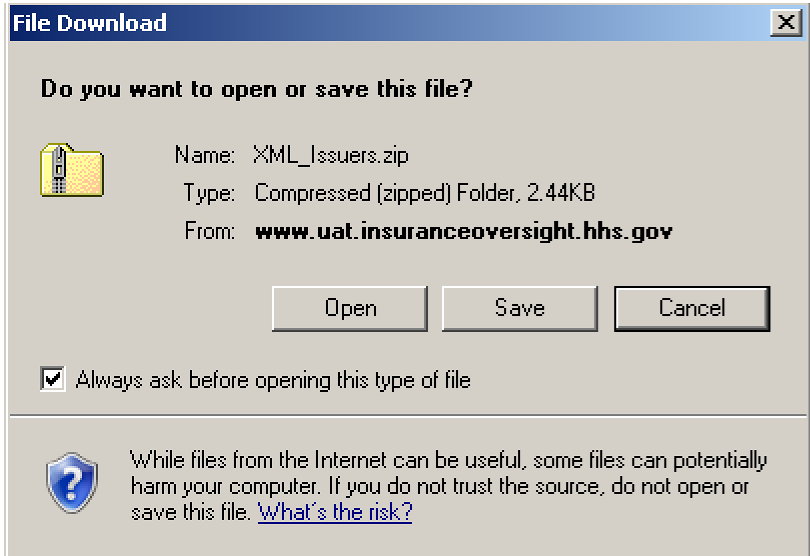


The following are the steps to download an XSD file:

1. From the ***HIOS Main Page***, select ***HIOS Issuer Product Data Collection***.
2. Select the ***Download Data Submission Tools*** tab.
3. Select the ***Issuer Submission Tools*** link.
4. Select the ***Issuer Data XSD File*** link.
5. Select the ***Download Pre-Populated Issuer Template*** button.

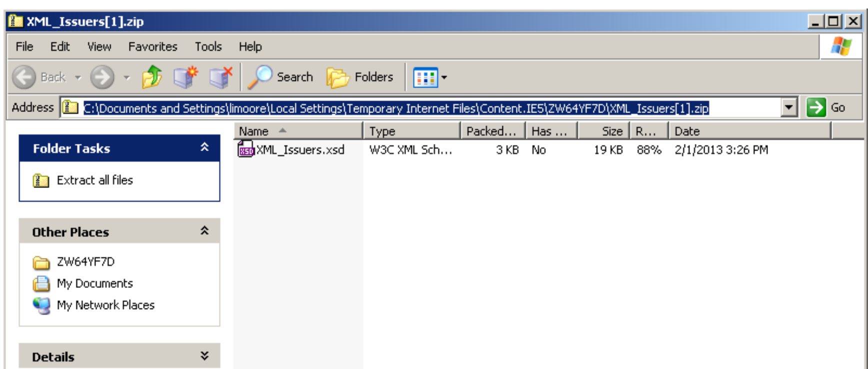
The File Download window message is displayed below in Figure 16.

Figure 16: File Download window



The XSD Zip File window message is displayed below in Figure 17.

Figure 17: XSD Zip File window



4.2 Creating XML File

Working versions of the .XML files can be named at the user's discretion. The .XML file will have to be changed (Save As) to the submission approved format. However, the finalized file to be submitted must be in the following format to be accepted:

- Final_<IssuerNameWithNoSpaces><stateabbreviation>_<IssuerID>_<year><month><day>.xml

Use of this naming convention is a requirement for a successful submission. If the name of the finalized file is modified, it will not be processed.

The following is an example of the finalized file format to be submitted:

Example: Final_ACMEInsuranceCo_DC_8511_20130127.xml

Please Note: Finalized files will be saved in the same directory where the working file is located.

4.3 XML File Upload

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***Upload Finalized Data Template*** tab.
3. Type in the file name and location or select the ***Browse*** button then locate the file.
4. Select the ***Upload*** button. You will receive a confirmation message when the file has been completely uploaded.

Successfully uploaded and processed files will generate an email message to the submission contacts verifying the successful submission. If there are any errors encountered during the file processing, the system will generate an email detailing the error encountered. The error will have to be corrected and re-submitted before the file can be successfully re-processed.

5 Submission Users Only - Web Entry

The web entry screens are only viewable to submission users. Users can enter and edit data on the web user interface for elements that are editable. Please see the chart below for a complete list of editable fields.

Table 4: Fields on Web Entry Interface

Field	User Edits
Corporate Information	**Corporate Information**
Issuer Legal Name	No
State	No
Issuer ID	No
Federal EIN	No
Market Coverage	No
Issuer Marketing Name	No
NAIC Company Code	No
NAIC Group Code	No
Address	**Address**
Address Line 1	No

Field	User Edits
Address Line 2	No
City	No
State	No
Zip	No
4 digit	No
Individual and Small Group Market	**Individual and Small Group Market**
Do you offer Individual Market?	**No**
Enter the web address for the Individual Market website.	**Yes**
Do you offer Small Group Market?	**No**
Enter the web address for the Small Group Market website.	**Yes**
Customer Service Contact – Individual Market	**Customer Service Contact – Individual Market**
Local Number	**Yes**
Extension	**Yes**
Toll Free Number	**Yes**
TTY:	**Yes**
Web Address	**Yes**
Customer Service Contact – Small Group Market	**Customer Service Contact – Small Group Market**
Local Number	**Yes**
Extension	**Yes**
Toll Free Number	**Yes**
TTY:	**Yes**
Wedbsite Address	**Yes**
Ratings – Individual Market	**Ratings – Individual Market**
Is Issuer rated by any rating company?	**Yes**
Rating Company	**Yes**
Rating Type	**Yes**
Rating	**Yes**
Rating Company Other/Describe	**Yes**
Rating Type Other/Describe	**Yes**
Ratings – Small Group Market	**Ratings – Small Group Market**
Is Issuer rated by any rating company?	**Yes**

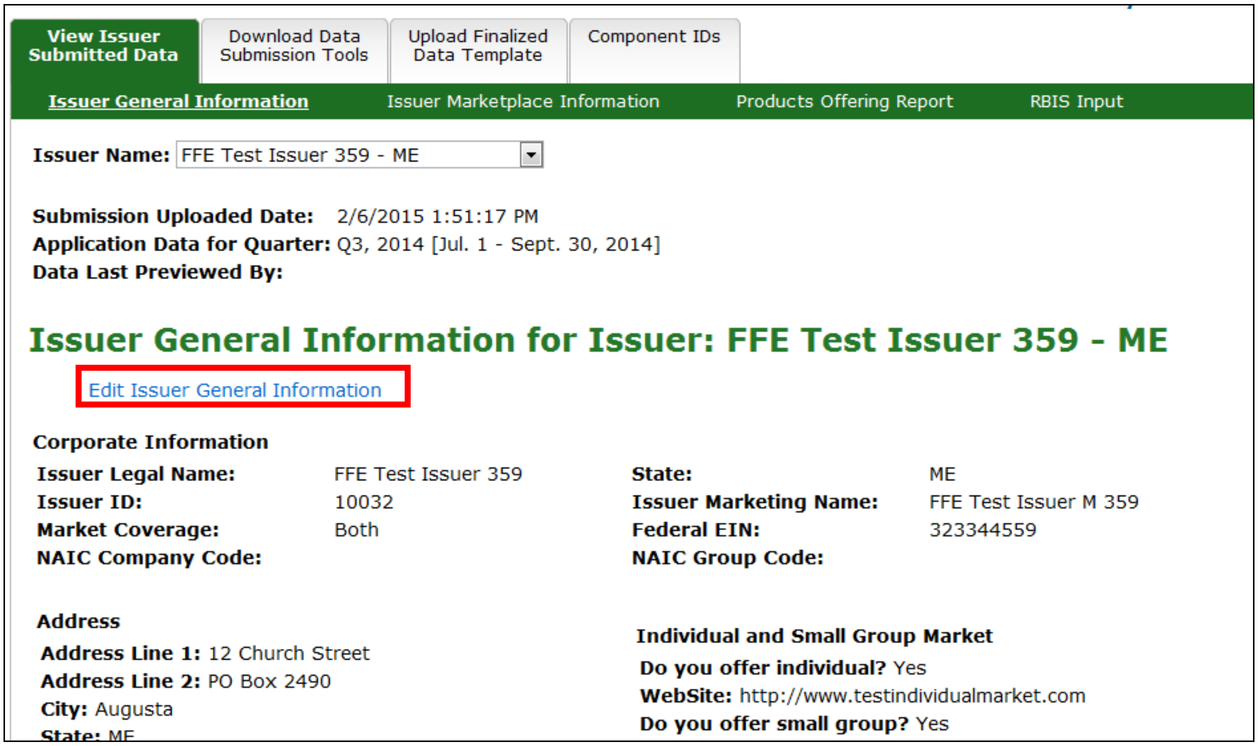
Field	User Edits
Rating Company	**Yes**
Rating Type	**Yes**
Rating	**Yes**
Rating Company Other/Describe	**Yes**
Rating Type Other/Describe	**Yes**
Product ID	No
Product Name	No
Enrollment Code/Group Number	**Yes**
Product Information	**Product Information**
Product Type	No
Other Product Type description	**Yes**
Association Product	**Yes**
Product Enrollment	**Yes**
Individual or Small Group	No
Website Address (Benefit)	**Yes**
Website Address (Formulary)	**Yes**
Website Address (Provider)	**Yes**
Covers Whole State	**Yes**
Number of Applications Received	**Yes**
Number of Applications Denied	**Yes**
Number of Uprated Offers	**Yes**
Number of Administrative disqualifiers	**Yes**
SERFF Number	**Yes**
Open or Close?	**Yes**
Closed Reason	**Yes**
Other Closed reason	**Yes**
Grandfathered product?	**Yes**
Effective State Date	**Yes**
Effective End Date	**Yes**
Marketplace Administrative Data	**Marketplace Administrative Data**
Issuer Legal Name	No
Issuer Marketplace Marketing Name	**Yes**
State	No
Coverage type	No

Field	User Edits
Customer Service - Market Place Issuer Billing Address	**Customer Service - Market Place Issuer Billing Address**
Marketplace Billing Name	**Yes**
Marketplace Address Line 1	**Yes**
Marketplace Address Line 2	**Yes**
Marketplace City	**Yes**
Marketplace State	**Yes**
Marketplace Zip	**Yes**
Marketplace Zip Extension	**Yes**
Marketplace Customer Service - Phone, Phone Extension, URL Customer Service	**Marketplace Customer Service - Phone, Phone Extension, URL Customer Service**
IFP Customer Service Phone	**Yes**
IFP Customer Service Phone Extension	**Yes**
IFP Customer Service Toll Free Number	**Yes**
IFP Customer Service TTY	**Yes**
IFP Customer Service URL	**Yes**
SHOP Customer Service Phone	**Yes**
SHOP Customer Service Phone Extension	**Yes**
SHOP Customer Service Toll Free Number	**Yes**
SHOP Customer Service TTY	**Yes**
SHOP Customer Service URL	**Yes**

5.1 Edit Issuer General Information

The data submission contact can select ***Edit Issuer General Information*** to edit Issuer General Information as depicted below in Figure 18.

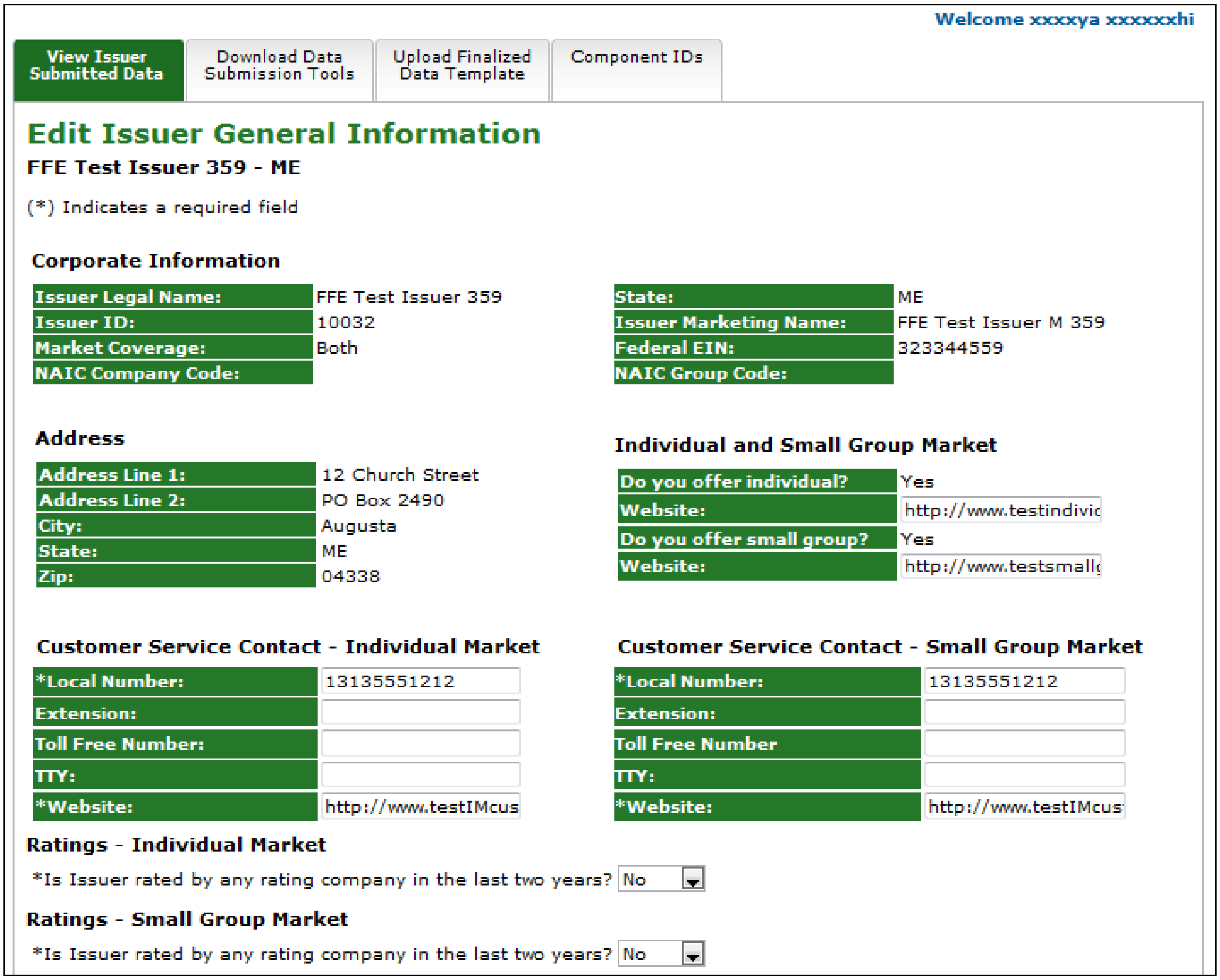
Figure 18: Edit Issuer General Information link



1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***View Issuer Submitted Data*** tab.
3. Select the ***Issuer General Information*** link.
4. Select the ***Edit Issuer General Information*** link.

The Edit Issuer General Information window is displayed below in Figure 19.

Figure 19: Edit Issuer General Information window



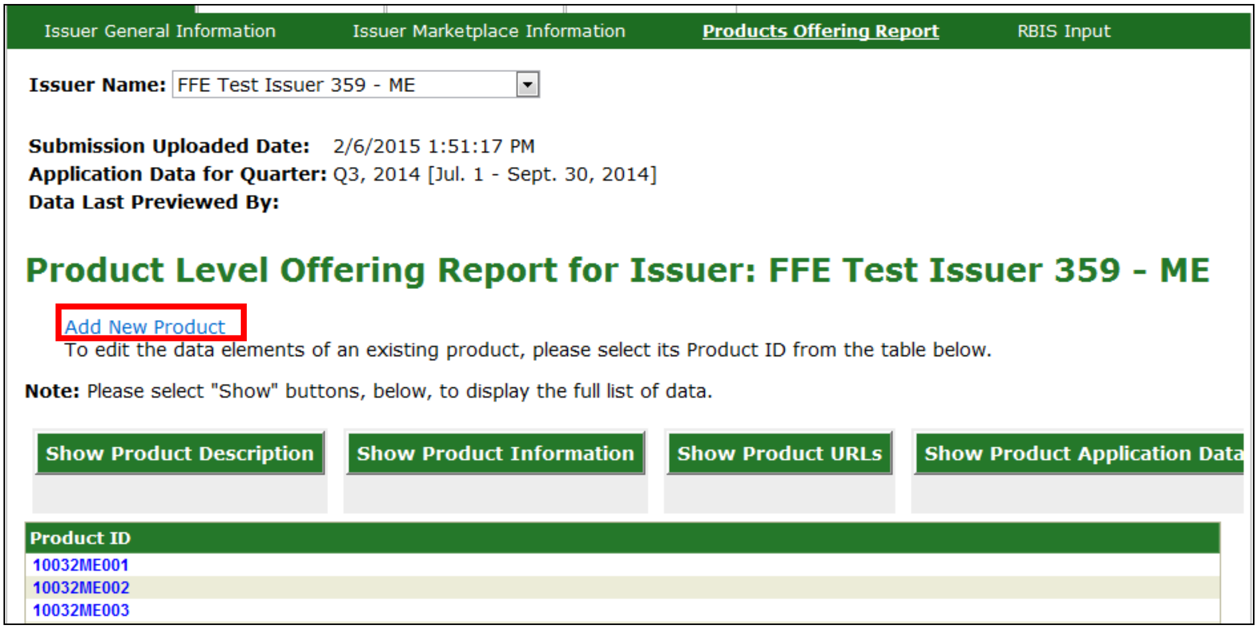
5. Make changes to any of the editable fields, as desired.
6. Select one of the following buttons:
   a. ***Submit*** button: Will send the changes through for processing. Any validation errors will appear at the top of the screen and will have to be addressed before the web editing request can be successfully processed.
   b. ***Cancel*** button: Will erase any changed information and return the data to its previous settings.
   c. ***Back*** button: Will return the user to the View Issuer General Information page.

5.2 Edit Product Information

Users can add and edit product information as well. The users can simply navigate to the ***Product Offerings Report*** link under the ***View Issuer Submitted Data*** tab to edit Product Information. The users can then select ***Add New Product*** to add a new product.

The Product Offering Report page is displayed below in Figure 20.

Figure 20: Product Offering Report page

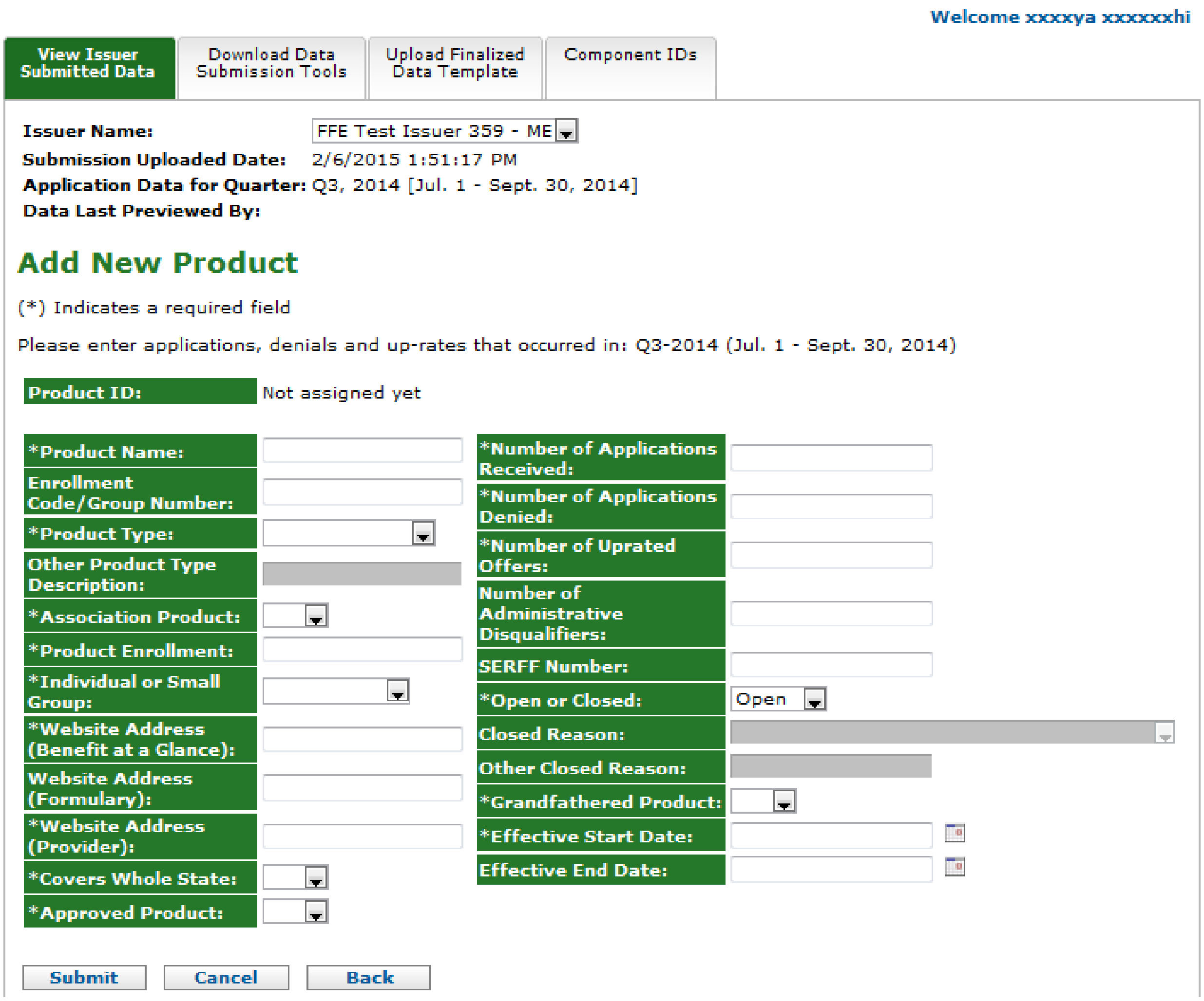


The following are the steps to add new products:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***View Issuer Submitted Data*** tab.
3. Select the ***Product Offering Report*** link.

The Add New Product window is displayed below in Figure 21.

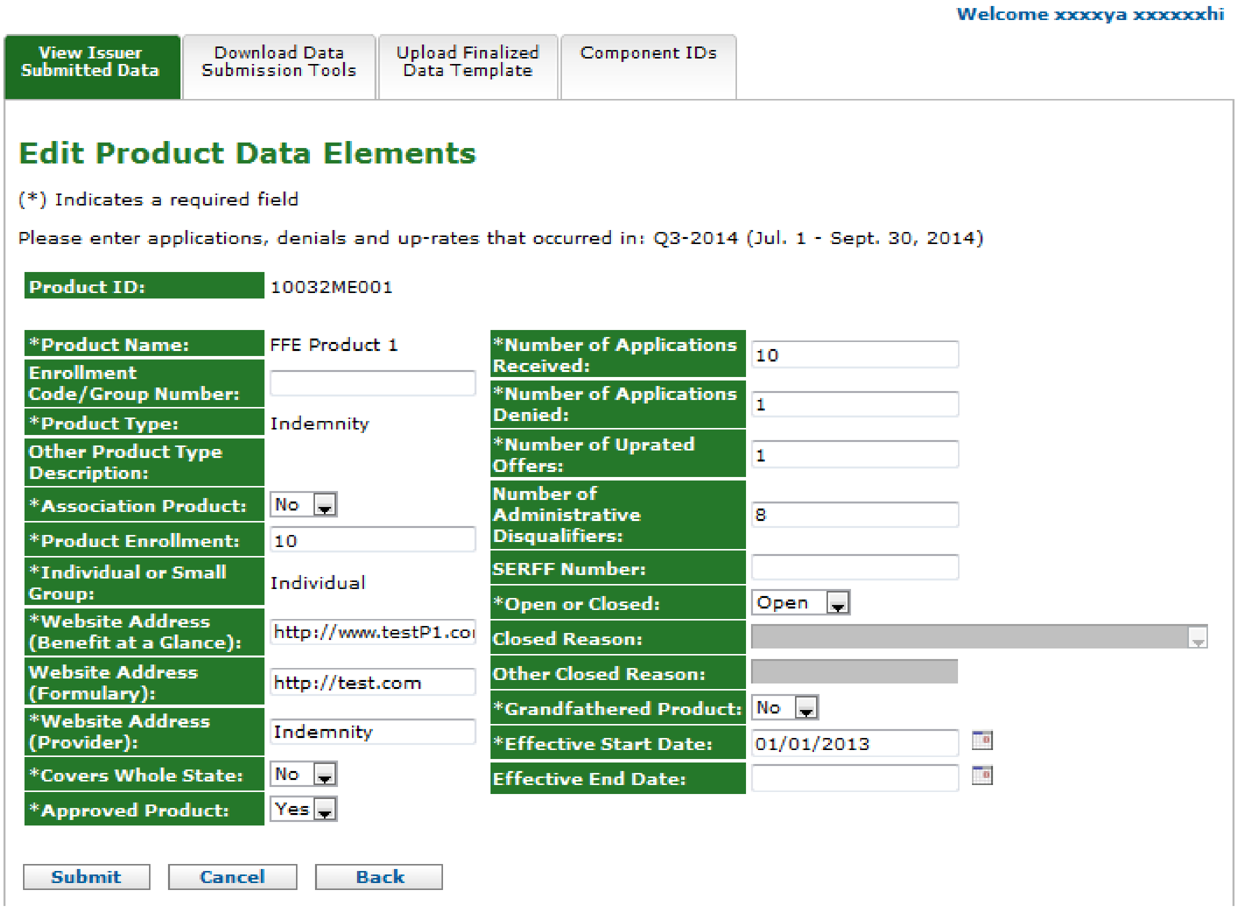
Figure 21: Add New Product window



4. To create a new product, select the ***Add New Product*** link to get a blank product entry window. A new Product ID will be automatically generated once the users select ***Submit***.

The Edit Product Data Elements window is displayed below in Figure 22.

Figure 22: Edit Product Data Elements window



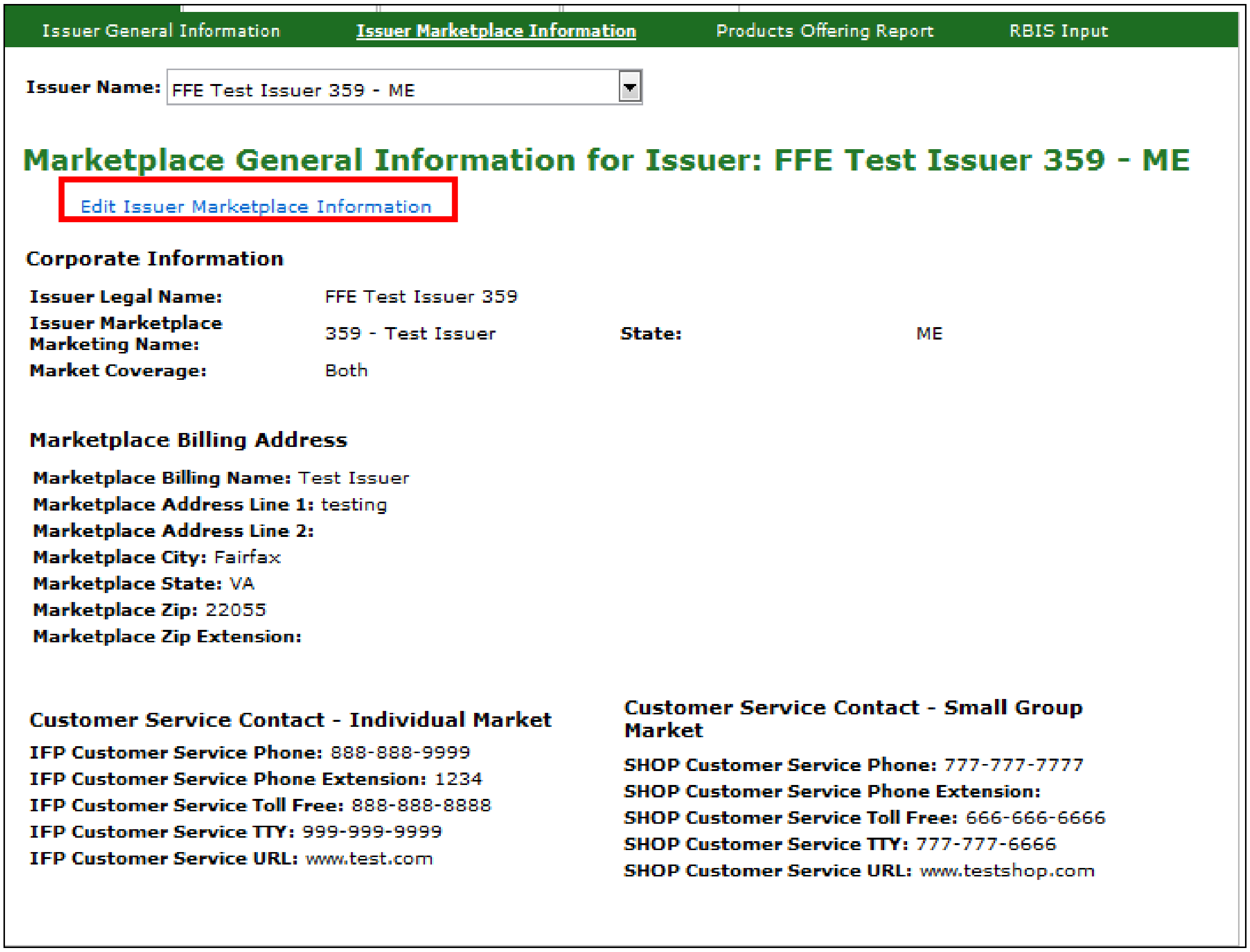
5. To edit an existing product, select the ***Product ID*** hyperlink for the desired product.
6. Edit or enter all applicable and required data. See the Product Information chart in Section 3.5 for additional information to complete the product report.
7. Select one of the following buttons:
    a. ***Submit*** button: Will send the changes through for processing. Any validation errors will appear at the top of the screen and will have to be addressed before the web editing request can be successfully processed.
    b. ***Cancel*** button: Will erase any changed information and return the data to its previous settings.
    c. ***Back*** button: Will return the user to the View Issuer General Information page.

5.3 Edit Marketplace General Information

Issuer Submitters can add and edit Marketplace General Information as well. The users can simply navigate to the ***Issuer Marketplace Information*** link under the ***View Issuer Submitted Data*** tab to edit the Marketplace General Information. The users can then select ***Edit Issuer Marketplace Information*** to update the fields.

The Marketplace General Information page is displayed below in Figure 23.

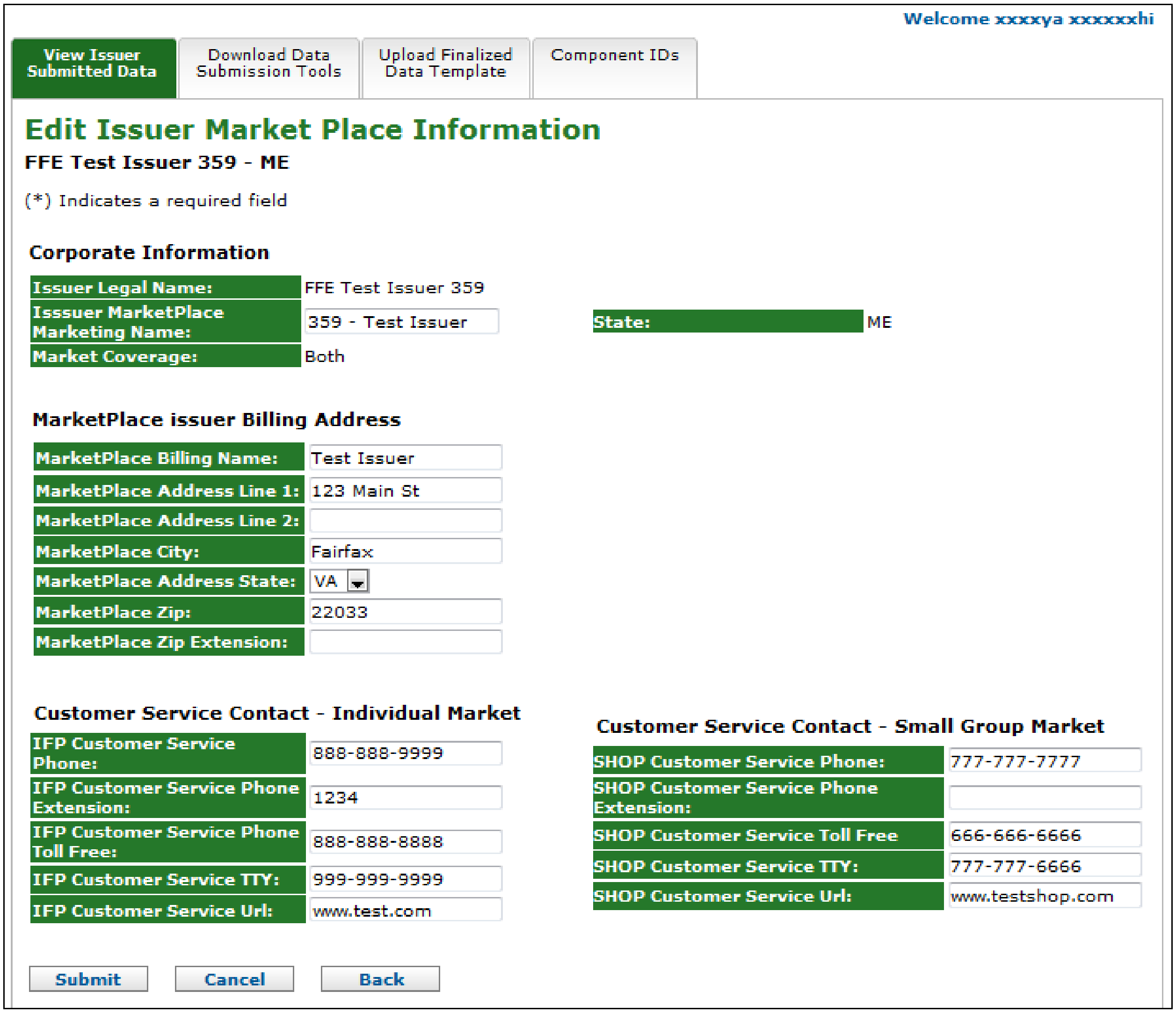
Figure 23: Edit Issuer Market Place Data Link



The following are the steps to add or edit Marketplace General Information:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***View Issuer Submitted Data*** tab.
3. Select the ***Issuer Marketplace Information*** tab.
4. Select an Issuer Name if user is associated with more than one Issuer.
5. To add or edit existing customer service information, select the ***Edit Issuer Marketplace Information*** hyperlink.

Figure 24: Edit Issuer Marketplace Data Elements Window



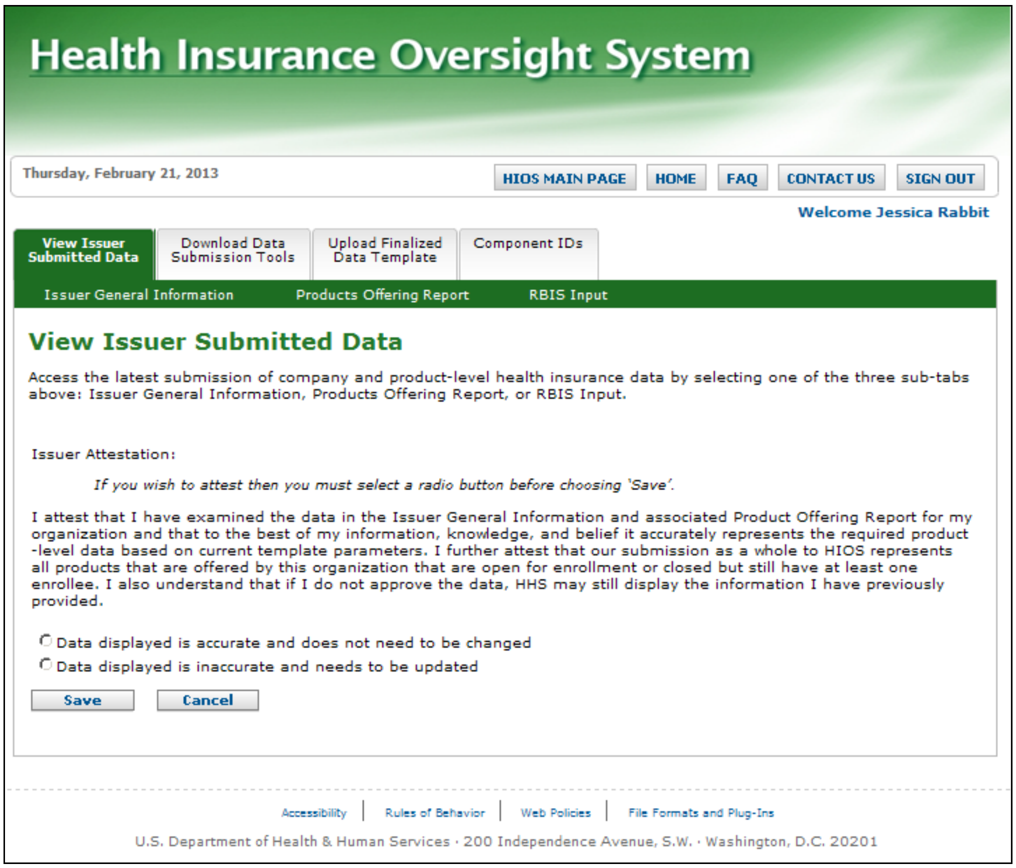
6. Edit or enter all applicable and required data.
7. Select one of the following buttons:
    a. ***Submit*** button: Will send the changes through for processing. Any validation errors will appear at the top of the screen and will have to be addressed before the web editing request can be successfully processed.
    b. ***Cancel*** button: Will erase any changed information and return the data to its previous settings.
    c. ***Back*** button: Will return the user to the View Marketplace General Information page.

6 Validation Users Only – Issuer Attestation

Once the updated issuer data has been successfully submitted and processed, the validation message will be triggered for the Validation users the next time they enter the system. Validation users are responsible for checking all submitted data to ensure accuracy and then attesting to the accuracy of the data.

The Issuer Attestation message is displayed below in Figure 25.

Figure 25: Issuer Attestation message



The following are the steps to attest the issuer data for validation users:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***View Issuer Submitted Data*** tab.
3. Review all submitted data by selecting each information link.
4. Select any other tab (not link) to refresh the message, then select the ***View Issuer Submitted Data*** tab again.
5. Read the ***Issuer Attestation*** message and select the appropriate radio button for your status.

6. Select the ***Save*** button.

7 Component ID Numbers

A SCID (Standard Component ID) is the base identification of an insurance plan prior to it being submitted as an “On exchange”, “Off exchange”, or both plan. The SCID is used to create the official Plan ID once it is processed by the receiving system (e.g., FFE PM, RBIS).

The Standard Component ID Services (SCIS) will be implemented as an independent set of services and will enable CCIIO to have a single source for all Standard Component ID’s. Once generated, these IDs will be persistent and can be used across any system using SCIDs.

Users can view the existing component IDs for their products per registered issuer and request additional component IDs for their reported products.

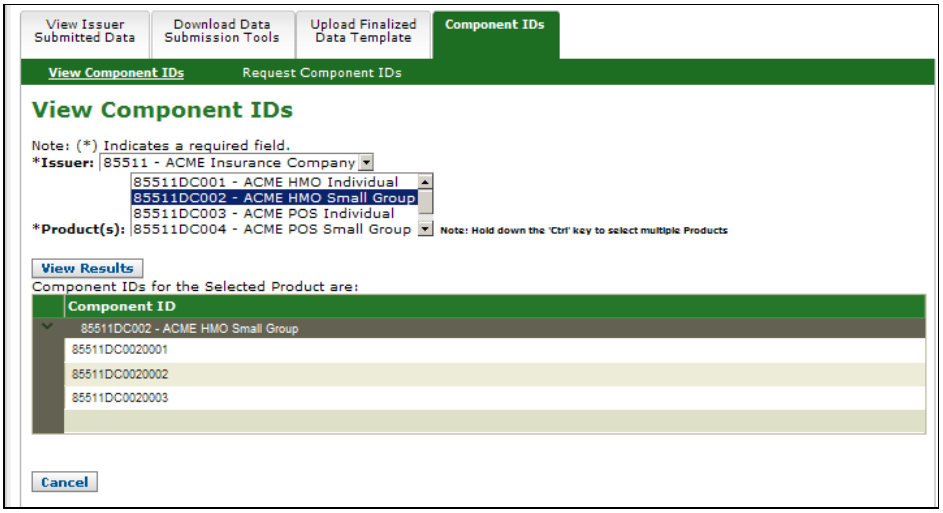
The Component IDs tab is displayed below in Figure 26.

Figure 26: Component IDs tab

7.1 View Component IDs

The View Component IDs page is displayed below in Figure 27.

Figure 27: View Component IDs page



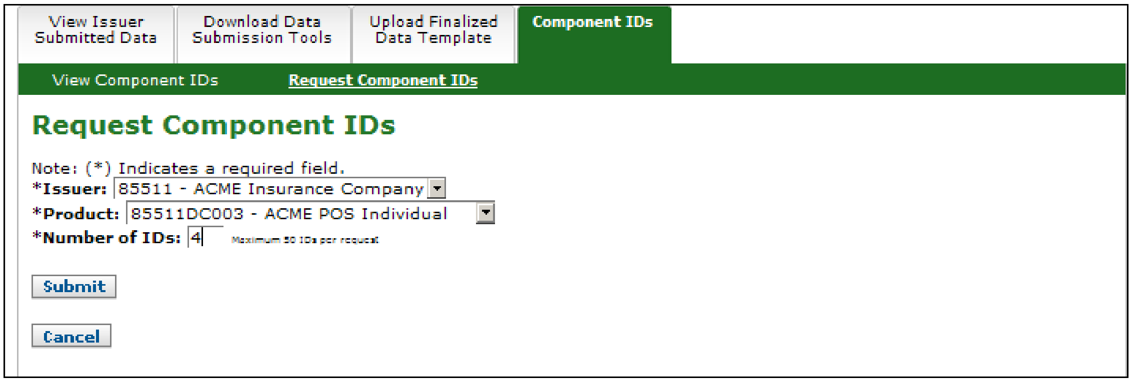
The following are the steps to view the existing component IDs registered for a specific product:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***Component IDs*** tab.
3. Select the ***View Component IDs*** link.
4. Select the Issuer desired from the ***Issuer*** drop down menu. The products reported for that issuer will display in the ***Product(s)*** field.
5. Select the Product ID desired from the ***Product(s)*** drop down menu.
6. Select the ***View Results*** button.
7. The component IDs associated with that specific product will be displayed in a list.

7.2 Request Component IDs

The Request Component IDs page is displayed below in Figure 28.

Figure 28: Request Component IDs page



The following are the steps to request additional component IDs for a specific product:

1. From the HIOS Portal, select ***HIOS Plan Finder Product Data Collection*** module button.
2. Select the ***Component IDs*** tab.
3. Select the ***Request Component IDs*** link.
4. Select the Issuer desired from the ***Issuer*** drop down menu. The products reported for that issuer will display in the ***Product(s)*** field.
5. Select the Product ID desired from the ***Product(s)*** drop down menu.
6. Enter the number of additional component IDs needed in the ***Number of IDs*** field. Users may request up to 50 IDs per request.
7. Select the ***Submit*** button.
8. The additional component IDs associated with that specific product can be viewed on the ***View Component IDs*** page.

8 Frequently Asked Questions (FAQ's)

Question 1: I am trying to open Issuer Data Entry Form files in Excel 2007 but I do not see the Option button. How do I enable contents?

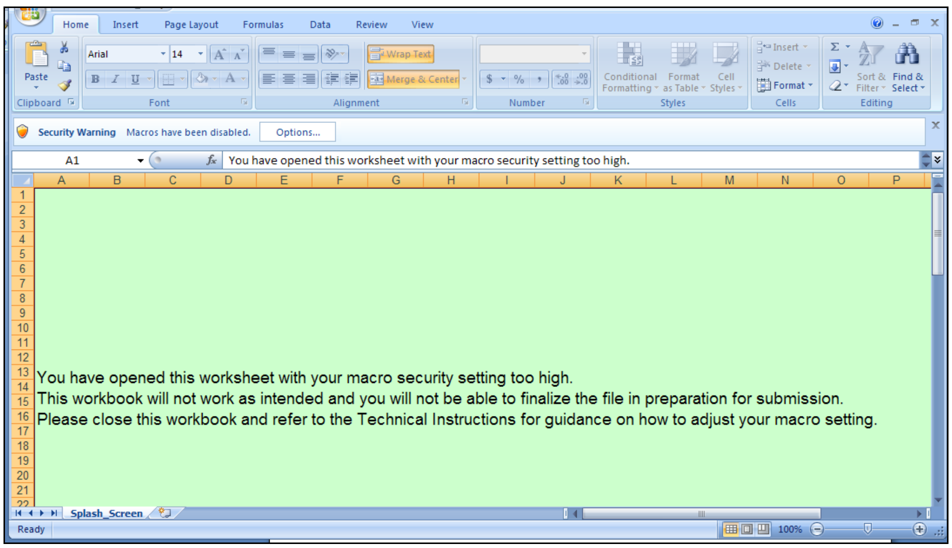
1. Select the Microsoft Office button .
2. Select on ***Excel Options***.
3. Select ***Trust Center.***
4. Select ***Trust Center Settings***.
5. Select ***Message Bar***.
6. Select the radio button that states "***Show the Message Bar in all applications when document content has been blocked***."

Question 2: I have Excel 2003. When I opened the workbook, a static screen displayed indicating that I must update my macro settings.

- If macro settings are set to High or Very High, the workbook will not be functional. Change macro security settings to ***Medium (recommended)***. See section *4.1: Set-up Considerations* for instructions.

Question 3: I have Excel 2007 or higher. When I opened the workbook, I received the following screen.

Figure 29: Excel 2007 or higher error message



1. Select ***Options***.
2. Select the radio button for ***Enable this content .***
3. Select ***OK***.

Question 4: I have Excel 2007. When I attempted to finalize the workbook, I received a macro error message.

- The Issuer Data Entry Form uses macros to perform the built-in functions including the validation and finalization processes. See section *3: Excel Submissions*.

Question 5: My issue is not listed in this manual. Who can I contact?

- For additional assistance, please call the CMS Help Desk, Exchange Operations Support Center (XOSC) at 1-855-CMS-1515 or email them at CMS_FEPS@CMS.HHS.gov.
- XOSC hours of operation are from 9:00 a.m. – 6:00 p.m. EST Monday thru Friday (not including federal government observed holidays or closures).

Appendix A – Required Fields

A list of the required fields are provided below.

Issuer General Info worksheet:

- If Individual Market is covered, the following fields are required:
  - Individual Market Customer Service Local Phone Number
  - Individual Market Customer Service Website Address
  - Individual Primary Data Submission Contact First Name
  - Individual Primary Data Submission Contact Last Name
  - Individual Primary Data Submission Contact Phone Number
  - Individual Primary Data Submission Contact Email Address
  - Individual Primary Data Validation Contact First Name
  - Individual Primary Data Validation Contact Last Name
  - Individual Primary Data Validation Contact Phone Number
  - Individual Primary Data Validation Contact Email Address
- If Small Group Market is covered, the following fields are required:
  - Small Group Market Customer Service Local Phone Number
  - Small Group Market Customer Service Website Address
  - Small Group Primary Data Submission Contact First Name
  - Small Group Primary Data Submission Contact Last Name
  - Small Group Primary Data Submission Contact Phone Number
  - Small Group Primary Data Submission Contact Email Address
  - Small Group Primary Data Validation Contact First Name
  - Small Group Primary Data Validation Contact Last Name
  - Small Group Primary Data Validation Contact Phone Number
  - Small Group Primary Data Validation Contact Email Address
- Individual Market – Is the Issuer rated?
- If the Individual Market offerings have been rated, the following fields are required:
  - Rating Company
  - Rating Type
  - Rating
- Small Group Market – Is the Issuer rated?
- If the Small Group Market offerings have been rated, the following fields are required:
  - Rating Company
  - Rating Type
  - Rating

Product Info Worksheet:

- Product Name
- Product Type

- Association Product
- Product Enrollment
- Individual or Small Group(Editable for new products)
- Website address (Benefit at a Glance)
- Website address (Provider Network)
- Covers whole State?
- Number of Applications Received?
- Number of Applications Denied?
- Number of Up-Rated Offers?
- Number of Administrative Disqualifiers?
- Open or Closed?
    - Closed Reason, if “Open or Closed?” is *Closed*
        - Other Closed Reason, if “ Closed Reason” is *Other*
- Grandfathered Product
- Effective Start Date
- Effective End Date
- Approved Product?

Appendix B – Critical Errors

Critical errors are outlined below.

1. Field Validations: see Appendix A – Required Fields. The file templates will indicate missing required fields. The templates will not allow you to "Validate and Finalize" until all field validation errors have been addressed.
   Please Note: Some required field, such as conditionally required fields, omissions will not prevent an .XML file finalization and submission; however, the file submission will fail and generate an email with an error.
2. Attestation contacts cannot be any type of submission or validation contact for the same issuer. The file submission will fail and generate an email with an error.
3. If the submission user's User ID (email address) is not an existing submission contact, the file submission will fail and generate an email with an error.
4. If the submission user's User ID (email address) is an existing submission contact but their contact information is not listed as a continuing submission contact on the file being submitted, the file submission will fail and generate an email with an error.
5. If the XML file does not have the proper naming convention, the file submission will fail and generate an email with an error.
6. If the finalized Excel file is not in the approved naming convention, the file submission will fail and generate an email with an error.
7. Attestation CEO and Attestation CFO Contacts cannot be the same person. At least one of the attestation contacts must be completed; the other can be blank.
8. Data submission and validation contacts cannot all be the same ONE person. There must be at least two contacts for the issuer, not including the attestation contact.
9. If the number of applications received is less than the sum of the number of denials, number of up-rated offers, and number of administrative disqualifications.
10. For XML submissions, any of these validations failures will cause the file submission to fail and an email to be generated with an error:
    a. The appropriate Customer Service phone number and website are not entered for the correct market type.
    b. Contact information (first name, last name, contact phone number, and email address) for the appropriate market type.
    c. If the number of applications that were denied plus the number that were up-rated total more than the number of application received.
    d. If the Effective Start Date is before the Effective End Date.
    e. If an invalid URL format is entered into any of the website address.
    f. If an invalid email address format is entered into any of the email address fields.
    g. For Current year and quarter does not match the current year and quarter.
    h. Invalid Characters in the Address, marketing name fields and user entered fields.